

## Universal Service for Schools and Libraries

### Service Provider Annual Certification Form

Estimated Average Burden Hours Per Response: 1.0 hour

Please read instructions before completing.

(To be completed by Service Provider)

**Persons willfully making false statements on this form can be punished by fine or forfeiture, under the Communications Act, 47 U.S.C. Secs. 502, 503(b), or fine or imprisonment under Title 18 of the United States Code, 18 U.S.C. Sec. 1001.**

NOTICE TO: Section 54.501 of the Federal Communications Commission's rules states that telecommunications carriers shall be eligible for universal service support for providing supported services to eligible schools, libraries, and consortia including those entities. Section 54.517 prescribes that non-telecommunications carriers shall be eligible for universal service support for providing Internet access and installation and maintenance of internal connections to eligible schools, libraries, and consortia including those entities.

Section 69.619 of the Federal Communication Commission's rules requires the fund administrator to review bills for services and to determine the amount of universal service support to be disbursed to service providers. All service providers that have signed a contract or have tariffs in effect under which they provide discounted service to eligible schools and libraries who have received a Funding Commitment Decisions Letter from the fund administrator are required to submit a Service Provider Invoice Form to obtain universal service support for the amount of the discounts provided to eligible schools and libraries. This Service Provider Invoice Form informs the fund administrator of the amount of the discounts provided to eligible schools and libraries, and consortia of those entities, for which the service provider seeks universal service support.

A Service Provider Annual Certification Form is required to be completed by each service provider, for each separate Service Provider Identification Number (SPIN), to confirm that the Invoice Forms submitted by each service provider are in compliance with the FCC's rules governing Universal Service for Schools and Libraries. One Form may be completed by each service provider that may have one or more Service Provider Identification Numbers assigned, and service providers with different legal names that are part of the same corporate legal entity may also submit one Form.

The collection of information stems from the Commission's authority under Section 254 of the Communications Act of 1934, as amended, 47 U.S.C. § 254. The information reported in the Form will be used to inform the fund administrator that a service provider is aware of and is in compliance with the FCC's rules governing Universal Service for Schools and Libraries.

An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number.

The FCC is authorized under the Communications Act of 1934, as amended, to collect the information requested in this form. If we believe there may be a violation or potential violation of a FCC statute, regulation, rule or order, your Service Provider Annual Certification Form may be referred to the Federal, state, or local agency responsible for investigating, prosecuting, enforcing or implementing the statute, rule, regulation or order. In certain cases, the information in your Service Provider Annual Certification Form may be disclosed to the Department of Justice or a court or adjudicative body when (a) the FCC; or (b) any employee of the FCC; or (c) the United States Government, is a party in a proceeding before the body or has an interest in the proceeding. In addition, information provided in or submitted with this form or in response to subsequent inquiries may also be subject to disclosure consistent with the Communications Act of 1934, FCC regulations, the Freedom of Information Act, 5 U.S.C. § 552, or other applicable law.

If you owe a past due debt to the federal government, the information you provide may also be disclosed to the Department of the Treasury Financial Management Service, other federal agencies and/or your employer to offset your salary, IRS tax refund or other payments to collect that debt. The FCC may also provide this information to these agencies through the matching of computer records when authorized.

If you do not provide the information requested on the form, your Service Provider Annual Certification Form may be returned without action or the processing of your form may be delayed.

The foregoing Notice is required by Paperwork Reduction Act of 1995, Pub. L. No. 104-13, 44 U.S.C. § 3501, *et seq.*

Public reporting burden for this collection of information is estimated to average 1.0 hour per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, completing, and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing the reporting burden, to the Federal Communications Commission, Performance Evaluation and Records Management, Washington, D.C. 20554.

**Block 1: Service Provider Information**

1. Name of Service Provider (required)		2. Service Provider Identification Number (required)	
A		A.	
		B.	
C.		C.	
D.		D.	
E.		E.	
F.		F.	
G.		G.	
H.		H.	
I.		I.	
J.		J.	
K.		K.	
L.		L.	
M		M.	
N.		N.	
O.		O.	
		P.	
Q.		Q.	
R.		R.	
S.		S.	
T.		T.	
U.		U.	
V.		V.	
W.		W.	
X.		X.	
Y.		Y.	
Z.		Z.	
3. Funding Year (required)		4. Contact Name (required)	
5. Complete Mailing Address of Contact Person (required)			
Street Address, P. O. Box or Route Number		City	State Zip Code
Telephone Number with Area Code (10 digits) (required)	7. Fax Number with Area Code (10 digits) (optional)	8. E-mail Address (optional)	
( ) -	( ) -		

<b>Contact Name</b>	<b>Contact Telephone Number (____) ____ - ____</b>
<b>Block 2: Certification</b>	
I certify that I am authorized to submit this Service Provider Annual Certification Form on behalf of the above-named service provider, which has been assigned the above-referenced Service Provider Identification Number, and certify to the best of my knowledge, information and belief, as follows:	
9. Based on information known to me or provided to me by employees responsible for the data being submitted, I hereby certify that the data set forth in this Form has been examined and reviewed and is true, accurate and complete.	
10. The Service Provider Invoice Forms that are submitted by this service provider contain requests for universal service support for services which have been billed to the service provider's customers on behalf of schools, libraries, and consortia of those entities, as deemed eligible for universal service support by the fund administrator.	
11. The Service Provider Invoice Forms that are submitted by this service provider are based on bills or invoices issued by the service provider to the service provider's customers on behalf of schools, libraries, and consortia of those entities as deemed eligible for universal service support by the fund administrator, and exclude any charges previously invoiced to the fund administrator for which the fund administrator has not yet issued a reimbursement decision.	
12. This service provider makes available to customers, upon their request, separate prices for distinct services to assist Billed Entity Applicants in identifying the portions of their bills that represent the costs of services provided to eligible entities for eligible purposes.	
13. I acknowledge the Fund Administrator's authority to request additional supporting information as may be necessary. I recognize that I may be audited pursuant to this form and will retain for three years any and all records that I rely upon to complete this form and each Service Provider Invoice Form that is submitted by this service provider during the present funding year.	
14. Signature (original ink signature required)	15. Date (required)
Printed name of authorized person (required)	
17. Title or position of authorized person (required)	
18. Telephone number of authorized person (required)	
19. Address of authorized person (required)	
<div style="display: flex; justify-content: space-between;"> <span>Page 3 of 3</span> <span>FCC Form 473- June 1999</span> </div>	

**A paper copy of this form, with an original ink signature in Block 2, Item 16 should be mailed to:**  
**Schools and Libraries Division-Form 473**  
**P. O. Box 7026**  
**Lawrence, Kansas 66044-7026**

**If sent by express delivery services or U.S. Postal Service, Return Receipt Requested, the form should be mailed to:**

**Schools and Libraries Division-Form 473**  
**c/o Ms. Smith**  
**3833 Greenway Drive**  
**Lawrence, Kansas 66046**

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**FCC Form 473**  
**Universal Service for Schools and Libraries**  
**Service Provider Annual Certification Form**

Estimated Average Burden Hours Per Response: 1.0 hour

For more information, call the Schools and Libraries Division at 1-888-203-8100.

**Instructions for Completing the**  
**Universal Service for Schools and Libraries**  
**Service Provider Annual Certification Form (FCC Form 473)**

**NOTICE TO INDIVIDUALS**

**Persons willfully making false statements on this form can be punished by fine or forfeiture, under the Communications Act, 47 U.S.C. Secs. 502, 503(b), or fine or imprisonment under Title 18 of the United States Code, 18 U.S.C. Sec. 1001.**

Section 54.501 of the Federal Communications Commission's rules states that telecommunications carriers shall be eligible for universal service support for providing supported services to eligible schools, libraries, and consortia including those entities. Section 54.517 prescribes that non-telecommunications carriers shall be eligible for universal service support for providing Internet access and installation and maintenance of internal connections to eligible schools, libraries, and consortia including those entities.

Section 69.619 of the Federal Communications Commission's rules requires the fund administrator to review bills for services and to determine the amount of universal service support to be disbursed to service providers. All service providers that have signed a contract or have tariffs in effect under which they provide discounted service to eligible schools and libraries who have received a Funding Commitment Decisions Letter from the fund administrator are required to submit a Service Provider Invoice Form to obtain universal service support for the amount of the discounts provided to eligible schools and libraries. The Service Provider Invoice Form informs the fund administrator of the amount of the discounts provided to eligible schools and libraries for which the service provider seeks universal service support.

A Service Provider Annual Certification Form is required to be submitted to the fund administrator in order for a service provider to complete the procedure for submitting a Service Provider Invoice Form. The Annual Certification Form must be completed by each service provider, for each separate Service Provider Identification Number (SPIN), to confirm that the Invoice Forms submitted by each service provider are in compliance with the FCC's rules governing the schools and libraries universal service support mechanism.

The collection of information stems from the Commission's authority under Section 254 of the Communications Act of 1934, as amended, 47 U.S.C. § 254. The information reported in the Form will be used to inform the fund administrator that each Service Provider Invoice Form contains truthful, accurate and complete data, and is submitted in accordance with a Funding Commitment Decisions Letter issued by the fund administrator.

An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number.

The FCC is authorized under the Communications Act of 1934, as amended, to collect the personal information requested in this form. If we believe there may be a violation or potential violation of a FCC statute, regulation, rule or order, your Service Provider Annual Certification Form may be referred to the Federal, state, or local agency responsible for investigating, prosecuting, enforcing or implementing the statute, rule, regulation or order. In certain cases, the information in your Service Provider Annual Certification Form may be disclosed to the Department of Justice or a court or adjudicative body when (a) the FCC; or (b) any employee of the FCC; or (c) the United States Government, is a party in a proceeding before the body or has an interest in the proceeding.

If you owe a past due debt to the federal government, the taxpayer identification number and other information you provide may also be disclosed to the Department of the Treasury Financial Management Service, other federal agencies and/or your employer to offset your salary, IRS tax refund or other payments to collect that debt. The FCC may also provide this information to these agencies through the matching of computer records when authorized.

The foregoing Notice is required by the Privacy Act of 1974, Pub. L. No. 93-579, December 31, 1974, 5 U.S.C. § 552, and the Paperwork Reduction Act of 1995, Pub. L. No. 104-13, 44 U.S.C. § 3501, *et seq.*

If you do not provide the information requested on the form, your Service Provider Annual Certification Form may be returned without action or the processing of your form may be delayed.

Public reporting burden for this collection of information is estimated to average 1.0 hour per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, completing, and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing the reporting burden to the Federal Communications Commission, Performance Evaluation and Records Management, Washington, D.C. 20554. DO NOT SEND COMPLETED FORMS TO THIS ADDRESS.

## **PURPOSE OF FORM**

A Service Provider Annual Certification Form is required to be submitted to the fund administrator in order for a service provider to complete the procedure for submitting a Service Provider Invoice Form. The Annual Certification Form must be completed by each service provider, for each separate Service Provider Identification Number (SPIN), to confirm that the Invoice Forms submitted by each service provider are in compliance with the FCC's rules governing the schools and libraries universal service support mechanism.

Throughout these Instructions, the service provider may be referred to as "you." A service provider is any provider of eligible services or products to an eligible entity--a school, school district, library, library consortium or consortia of multiple entities. A service provider must obtain a Service Provider Identification Number (SPIN) by completing FCC Form 498, Service Provider Registration Form, and submitting the completed Form 498 to the Universal Service Administrative Company (USAC). For more information about SPINs, please contact the USAC's Customer Service Bureau at 1- 888 - 641-8722, or access the USAC web site at [www.universalservice.org](http://www.universalservice.org).

**Universal service support will not be paid to a service provider on an approved funding commitment prior to the fund administrator's receipt of the properly completed Form 473, Service Provider Annual Certification Form.**

## **FILING REQUIREMENTS AND GENERAL INSTRUCTIONS**



### ***Who must file the Form 473?***

A Service Provider Annual Certification Form is required to be completed by each service provider, for each separate Service Provider Identification Number (SPIN), to confirm that the Invoice Forms submitted by each service provider are in compliance with the FCC's rules governing Universal Service for Schools and Libraries. A Certification Form must be completed and submitted separately for each distinct Service Provider Identification Number assigned to a service provider that intends to submit Invoice Forms for reimbursement of universal service support under the schools and libraries universal service support mechanism. One Form may be completed by each service provider that may have one or more Service Provider Identification Numbers assigned, and service providers with different legal names that are part of the same corporate legal entity may also submit one Form.

### ***When to File?***

A Service Provider Annual Certification Form should be submitted once each year after the fund administrator issues a Funding Commitment Decisions Letter in which the service provider's SPIN is identified. The Form must be submitted prior to the fund administrator's payment of invoices submitted by the service provider for payment of universal service support under the schools and libraries universal service support mechanism. Service Providers are encouraged to complete and submit this Annual Certification Form as soon as they receive a Funding Commitment Decisions Letter which identifies one of the service provider's SPINs as providing services to an eligible school, library, or consortia of those entities. A service provider is only required to file this Form once each year.

### ***Where to File?***

The Form 473 must be filed manually by completing and mailing ***an originally signed form to: Schools and Libraries Division, P.O. Box 7026, Lawrence, KS 66044-7026.*** Alternatively, for those service providers using express delivery services or U.S. Postal Service Return Receipt, applicants should use the following address: **Schools and Libraries Division, c/o Ms. Smith, 3833 Greenway Drive, Lawrence, KS 66046.**

Note: DO NOT FILE THIS OR ANY OTHER UNIVERSAL SERVICE FORM WITH THE FEDERAL COMMUNICATIONS COMMISSION. THIS FORM MAY NOT BE FILED ELECTRONICALLY.

### ***Compliance.***

Anyone filing false information is subject to penalties for false statements, including fine or forfeiture, under the Communications Act, 47 U.S.C. §§ 502, 503(b), or fine or imprisonment under Title 18 of the United States Code, 18 U.S.C. § 1001.

All of the required information in the Form 473 must be completed, in order for this Form to be accepted by the fund administrator for processing. A valid entry must be submitted on the Form 473 for each component of required information. These Instructions set forth the requirements for a valid entry. If you have any questions about completing this Form, please visit the SLD section of the USAC web site at **[www.sl.universalservice.org](http://www.sl.universalservice.org)** and if you have remaining questions, please contact the SLD Client Service Bureau at **1-888-203-8100**, before submitting the Form. **If the Form is not properly completed, the Form may be rejected and returned to you.**

### ***Where to Get More Information?***

You may call the SLD Client Service Bureau at **1-888-203-8100**, send an e-mail using the "Submit a Question" feature on the web site or a fax to **1-888-276-8736** for more information on how to complete this or other universal service forms. Information and detailed guidance is also available on the web site.

## **SPECIFIC INSTRUCTIONS**

Type or clearly print in the spaces provided.

### **A. Block 1: Service Provider Information**

Block 1 of Form 473 asks you for your basic identification information and contact person data. "You" refers hereinafter to the service provider. A service provider is any provider of eligible services to an eligible entity--a school, school district, library, library consortium or consortium of multiple entities.

**Item (1)** - Provide the name of the service provider as indicated on Form 498. This information is required to be provided.

**Item (2)** - Provide the Service Provider Identification Number as it appears on the Form 471 Funding Commitment Decisions Letters for the Funding Request Numbers (FRNs) for which you will be seeking payment of the discount from the fund administrator. This information is required to be provided. One Form may be completed by each service provider that may have one or more Service Provider Identification Numbers assigned, and service providers with different legal names that are part of the same corporate legal entity may also submit one Form. All entries in Item (1) must have a corresponding entry in Item (2).

**Item (3)** - Provide the funding year for which your funds were approved, e.g., "1998." The funding year you supply here must be the same as the funding year contained in the Funding Commitment Decisions Letter for the corresponding Form 471. The 1998 Funding Year runs from January 1, 1998 through June 30, 1999. The 1999 Funding Year runs from July 1, 1999 through June 30, 2000. Each subsequent Funding Year is expected to begin on July 1 of that year. This information is required to be provided.

**Item (4)** - Provide the name of a contact person who should be contacted with questions about this form. The contact person must be able to answer questions in a timely manner regarding the information included in this form. This information is required to be provided.

**Item (5)** - Provide the mailing address for the contact person. This information must be provided.

**Item (6)** - Provide the telephone number with area code (containing 10 digits) for the contact person identified in Item (5). This information is required to be provided.

**Item (7)** - Provide the fax telephone number with area code (containing 10 digits) for the contact person identified in Item (5). This information is optional to be provided.

**Item (8)** - Provide the E-mail address of the contact person identified in Item (5). This information is optional to be provided.

## **B. Block 2: Certification**

This Block requests an authorized person, on behalf of the service provider, to certify that the service provider is in compliance with the FCC's rules governing the schools and libraries universal service support mechanism. The authorized person must certify that:

- **Item (9)** - Based on information known to the authorized person or provided to the authorized person by employees responsible for the data being submitted, the authorized person hereby certifies that the data set forth in this Form has been examined and reviewed and is true, accurate and complete.
- **Item (10)** - The Service Provider Invoice Forms that are submitted by this service provider contain requests for universal service support for services which have been billed to the service provider's customers on behalf of schools, libraries, and consortia of those entities, as deemed eligible for universal service support by the fund administrator.
- **Item (11)** - The Service Provider Invoice Forms that are submitted by this service provider are based on bills or invoices issued by the service provider to the service provider's customers on behalf of schools, libraries, and consortia of those entities as deemed eligible for universal service support by the fund administrator, and exclude any charges previously invoiced to the fund administrator for which the fund administrator has not yet issued a reimbursement decision.
- **Item (12)** - This service provider makes available to customers, upon their request, separate prices for distinct services to assist Billed Entity Applicants in identifying the portions of their bills that represent the costs of services provided to eligible entities for eligible purposes.
- **Item (13)** - The authorized person acknowledges the Fund Administrator's authority to request additional supporting information as may be necessary. The authorized person recognizes that the service provider may be audited pursuant to this form and will retain for three years any and all records that are relied upon to complete this form and each Service Provider Invoice Form that is submitted by this service provider during the present funding year.

**Item (14)** - The signature of the authorized person certifying to the accuracy of the information contained in Form 473 on behalf of the service provider is required in this block. **Please note that it is essential that the ORIGINAL INK SIGNATURE be provided to the fund administrator. Photocopies of signatures are NOT acceptable.** A person authorized to sign this Form must be responsible for the service provider's preparation and submission of Invoice Forms to seek reimbursement from the schools and libraries universal service support mechanism. This person must be able to certify to the accuracy of the Invoice Forms and their compliance with FCC rules.

**Item (15)** - Enter the date the Form 473 was signed. This date must include the month, day and year. This information is required to be provided.

**Item (16)** - Print the name of the authorized person certifying the information contained in Form 473 on behalf of the service provider. This information is required to be provided.

**Item (17)** - Provide the title or position of the authorized person certifying the information contained in Form 473 on behalf of the service provider. This information is required to be provided.



**Item (18)** - Provide the telephone number of the authorized person certifying the information contained in Form 473 on behalf of the service provider. This information is required to be provided.

**Item (19)** - Provide the address of the authorized person certifying the information contained in Form 473 on behalf of the service provider. This information is required to be provided.

Submit completed forms to:

**Schools and Libraries Division  
P.O. Box 7026  
Lawrence, Kansas 66044-7026**

**For express delivery services or U.S. Postal Service, Return Receipt Requested:  
Schools and Libraries Division,  
c/o Ms. Smith  
3833 Greenway Drive  
Lawrence, Kansas 66046**

**Reminder:** Provide data for all required information items. If you choose not to complete an information item that is optional, please leave the item blank.